

04/26/01

U.S. PRO

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

2589-101

First Inventor

Reginald C. SHIVERICK et al.

Title INFORMATION RETRIEVAL SYSTEM AND METHOD

☒ Assignee Information: Dakota Software Corporation  
Rochester, New York

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
3. ☒ Specification Total pages [45]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross references to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings
  - Detailed Description
  - Claims
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 USC 113) (Total Sheets) [7]
- ☒ Oath or Declaration (Total Pages) [1]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application  
(37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
**[Note Box 5 below]**
- i ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
inventor(s) named in the prior application,
16. ☐ Application Data Sheet.

ADDRESS TO: Assistant Commissioner of Patents  
Box Patent Application  
Washington, D.C. 20231

7. ☐ CD-ROM or CD-R in duplicate, large table  
or Computer Program
8. Nucleotide and/or Amino Acid Sequence Submission
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement  
(when there is an assignee)
  - ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement /PTO 1449
  - ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s).
16. ☒ Request and Certification under 35 U.S.C.  
122(b)(2)(B)(i).
17. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below or in an  
Application Data Sheet under 37 CFR 1.76::☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner \_\_\_\_\_ Group/Art Unit \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The  
incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.☒ Customer Number or Bar Code Label 6449

|           |                                    |  |              |          |              |
|-----------|------------------------------------|--|--------------|----------|--------------|
| Address   |                                    | Rothwell, Figg, Ernst & Manbeck<br>Suite 701-East, 555 13th Street, N.W. |              |          |              |
| City      | Washington                         | State  | D.C.         | Zip Code | 20004        |
| Country   | U.S.A.                             | Telephone  | 202-783-6040 | Fax      | 202-783-6031 |
| Name      | Vincent M. DeLuca, Reg. No. 32,408 |  |              |          |              |
| Signature | Vincent M DeLuca                   |  |              | Date     | 4/26/01      |

|   |        |                        |                              |
|---|--------|------------------------|------------------------------|
| <b>FEE TRANSMITTAL</b><br><b>for FY 2001</b><br><b>(Small Entity)</b> |        | Complete if Known      |                              |
|   |        | Application Number     |                              |
|   |        | Filing Date            |                              |
|   |        | First Named Inventor   | Reginald C. SHIVERICK et al. |
|   |        | Examiner Name          |                              |
|   |        | Group Art Unit         |                              |
| Total Amount of Payment   | (\$687 | Attorney Docket Number | 2589-101                     |

**METHOD OF PAYMENT (check one)**

1. ☒ The Commissioner is hereby authorized to charge additional fees and credit any overpayment to Deposit Account Number 02-2135 in the name of Rothwell, Figg, Ernst & Manbeck

☒ Charge any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status.

2. ☒ Payment Enclosed:

☒ Check  
☐ Credit Card

**FEE CALCULATION**
**1. FILING FEE**

| Fee Code | Fee \$ | Fee Description        | Fee Paid |
|----------|--------|------------------------|----------|
| 201      | 355    | Utility filing fee     | [ 355 ]  |
| 206      | 160    | Design Filing Fee      | [ ]      |
| 207      | 245    | Plant Filing Fee       | [ ]      |
| 208      | 355    | Reissue Filing Fee     | [ ]      |
| 214      | 75     | Provisional Filing Fee | [ ]      |

**SUBTOTAL \$355**

**2. CLAIMS**

|  | Extra Claims | Fee    | Fee Paid |
|--|--------------|--------|----------|
| Total Claims [ 48 ] - 20** = [ 28 ] x    |              | \$ 9 = | [ 252 ]  |
| Independent Claims [ 4 ] - 3** = [ 1 ] x |              | 40 =   | [ 40 ]   |
| Multiple Dependent Claims +              |              | 135 =  | [ ]      |

\*\*or number previously paid, if greater;

**SUBTOTAL \$ 292**

**FEE CALCULATION (continued)**
**3. ADDITIONAL FEES**

| Fee Code | Fee Paid | Fee Description  | Fee Paid |
|----------|----------|--|----------|
| 205      | 65       | Surcharge - late filing fee or oath  | [ ]      |
| 227      | 25       | Surcharge - late provisional filing fee or cover sheet                     | [ ]      |
| 139      | 130      | Non-English specification  | [ ]      |
| 147      | 2,520    | For filing a request for reexamination                                     | [ ]      |
| 112      | 920      | Requesting publication of SIR prior to Examiner action                     | [ ]      |
| 113      | 1,840*   | Requesting publication of SIR after Examiner action                        | [ ]      |
| 215      | 55       | Extension for reply within first month                                     | [ ]      |
| 216      | 195      | Extension for reply within second month                                    | [ ]      |
| 217      | 445      | Extension for reply within third month                                     | [ ]      |
| 218      | 695      | Extension for reply within fourth month                                    | [ ]      |
| 228      | 945      | Extension for reply within fifth month                                     | [ ]      |
| 219      | 155      | Notice of Appeal   | [ ]      |
| 220      | 155      | Filing a brief in support of an appeal                                     | [ ]      |
| 221      | 135      | Request for Oral Hearing   | [ ]      |
| 138      | 1,510    | Petition to institute a public use proceeding                              | [ ]      |
| 240      | 55       | Petition to revive -unavoidable  | [ ]      |
| 241      | 640      | Petition to revive - unintentional   | [ ]      |
| 242      | 620      | Utility issue fee (or reissue)   | [ ]      |
| 243      | 220      | Design issue fee   | [ ]      |
| 244      | 300      | Plant issue fee  | [ ]      |
| 122      | 130      | Petitions to the Commissioner  | [ ]      |
| 123      | 50       | Processing fee under 37 CFR 1.17(q)  | [ ]      |
| 126      | 180      | Submission of Information Disclosure Statement                             | [ ]      |
| 581      | 40       | Recording each patent assignment per property (times number of properties) | [ 40 ]   |
| 246      | 355      | Filing a submission after final rejection (37 CFR .129(a))                 | [ ]      |
| 249      | 355      | For each additional invention to be examined (37 CFR 1.129(b))             | [ ]      |
| 279      | 355      | Request for Continued Examination (RCE)                                    | [ ]      |
| 169      | 900      | Request for expedited examination of a design application                  | [ ]      |
| 195      | 300      | Publication fee for early, voluntary, or normal publication                | [ ]      |
| 196      | 300      | Publication fee for republication  | [ ]      |
| 089      | 200      | Filing an application for patent term adjustment                           | [ ]      |
| 090      | 400      | Request for reinstatement of term reduced                                  | [ ]      |
|          |          | Other fee (specify)  | [ ]      |

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL \$40**

|                      |                                    |                          |         |
|----------------------|------------------------------------|--------------------------|---------|
| SUBMITTED BY         |                                    | Complete (if applicable) |         |
| NAME AND REG. NUMBER | Vincent M. DeLuca, Reg. No. 32,408 |                          |         |
| SIGNATURE            | Vincent M DeLuca                   | DATE                     | 4/26/01 |
|                      |                                    | DEPOSIT ACCOUNT USER ID  |         |

|  |                           |  |                                 |
|--|---------------------------|--|---------------------------------|
| <b>REQUEST AND CERTIFICATION<br/>UNDER<br/>35 U.S.C. 122(b)(2)(B)(i)</b> | First Named Inventor      |  | Reginald C.<br>SHIVERICK et al. |
|  | Title                     | Information Retrieval System and<br>Method |                                 |
|  | Attorney Docket<br>Number |  | 2589-101                        |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

April 25, 2001

  
REGINALD C. SHIVERICK

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii).**